

PTO/SB/82 (C)  
Client Ref. No. B98-01**REVOCATION OF POWER OF  
ATTORNEY WITH  
NEW POWER OF ATTORNEY  
AND  
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	08/971,172
Filing Date	November 14, 1997
First Named Inventor	Goodman, Corey S
Art Unit	1647
Examiner Name	S. Turner
Attorney Docket Number	18941H-002910US

I hereby revoke all previous powers of attorney given in the above-identified application:

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number:

20350

☒ Please change the correspondence address for the above-identified application to:☒ The address associated with  
Customer Number:

20350

OR

☐ Firm or  
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name

Signature

Date

Telephone

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of \_\_\_\_\_ forms are submitted.

PTO/SB/96 (08-03)

Attorney Docket No. 18941H-002910US

Client Ref. No. B98-006-2

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Corey S Goodman, et. al.Application No./Patent No.: 08/971,172Filed/Issue Date: November 14, 1997Entitled: A NOVEL FAMILY OF POLYPEPTIDES AND NUCLEIC ACIDSThe Regents of the University of California, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 9036, Frame 0503, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

2/23/04

Date

(510) 643-7211

Telephone number

CAROL MINAH

Typed or printed name

Carol Minah

Signature

DIRECTOR, OTL

Title



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

MAY 14, 1998

PTAS

RICHARD ARON OSMAN  
75 DENISE DRIVE  
HILLBOROUGH, CA 94010



\*100667696A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/13/1998

REEL/FRAME: 9036/0503  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GOODMAN, COREY S.

DOC DATE: 03/02/1998

ASSIGNOR:

KIDD, THOMAS

DOC DATE: 03/02/1998

ASSIGNOR:

MITCHELL, KEVIN J.

DOC DATE: 03/02/1998

ASSIGNOR:

TEAR, GUY

DOC DATE: 03/09/1998

ASSIGNEE:

CALIFORNIA, UNIVERSITY OF, THE, REGENTS OF  
300 LAKESIDE DRIVE, 22ND FLOOR  
OAKLAND, CALIFORNIA 94612

SERIAL NUMBER: 08971172

PATENT NUMBER:

FILING DATE: 11/14/1997

ISSUE DATE:

*Exhibit to Statement  
under 37 CFR 3.73 (6)*

9036/0503 PAGE 2

DOROTHY RILEY, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

03-20-1998

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ET

Attorney Docket No. UCB 98-006



100667696

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Corey S. Goodman, Thomas Kidd, Kevin J. Mitchell and  
Guy TearAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name

Other: \_\_\_\_\_

Execution Date: March 2 and 9, 1998

## 2. Name and address of receiving party(ies):

Name: The Regents of the University of California  
Address: 300 Lakeside Drive, 22 Floor  
Oakland CA 94612Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s): 08/971,172

If this document is being filed together with a new application, the execution date of the application is:

## A. Patent Application No.(s)

08/971,172 filed November 14, 1997

## B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Richard Aron Osman, Ph.D.Address: 75 Denise DriveHillsborough, CA 94010

## 6. Total number of applications and patents involved: 1 \_\_\_\_\_

7. Total fee (37 CFR 3.41): \$40.00 <sup>E</sup>☒ Enclosed☒ Authorized to be charged to deposit account, if necessary

## 8. Deposit account number:

19-0750

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Richard Aron Osman, Ph.D.  
Name of Person Signing  
Signature5/2/98  
DateTotal number of pages including cover sheet: 3

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project (0651-0011), Washington, D.C. 20503.

ASSIGNMENT

U.C. Case No. B98-006

For good and valuable consideration, the receipt of which is hereby acknowledge,  
ASSIGNOR(S).

1. Corey S. Goodman
2. Thomas Kidd
3. Kevin J. Mitchell
4. Guy Tear

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, and any and all improvements which are disclosed in the invention entitled:

*Robo: A Novel Family of Polypeptides and Nucleic Acids*

and which is found in

(a) X U.S. application serial no. 08/971,172, filed on November 14, 1997

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

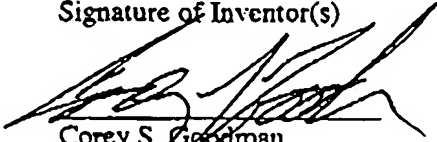
ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said Invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE. The Regents of the University of California.

executed this

Signature of Inventor(s)

2 day of March, 1998

  
Corey S. Goodman

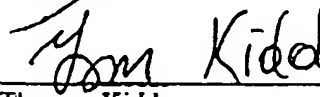
executed this

Signature of Inventor(s)

2nd day of March, 1998

  
Kevin J. Mitchell

2nd day of Mar, 1998

  
Thomas Kidd

\_\_\_\_ day of \_\_\_\_\_, 1998

\_\_\_\_\_  
Guy Tear

ASSIGNMENTU.C. Case No. B98-006

For good and valuable consideration, the receipt of which is hereby acknowledge.  
ASSIGNOR(S),

1. Corey S. Goodman
2. Thomas Kidd
3. Kevin J. Mitchell
4. Guy Tear

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE. The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, and any and all improvements which are disclosed in the invention entitled:

*Robo: A Novel Family of Polypeptides and Nucleic Acids*

and which is found in

(a) X U.S. application serial no. 08/971,172, filed on November 14, 1997

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said Invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE. The Regents of the University of California.

executed this

Signature of Inventor(s)

executed this

Signature of Inventor(s)

\_\_\_ day of \_\_\_, 1998

Corey S. Goodman

\_\_\_ day of \_\_\_, 1998

Kevin J. Mitchell

\_\_\_ day of \_\_\_, 1998

Thomas Kidd

09 day of March, 1998

Guy Tear

## DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled, *Robo: A Novel Family of Polypeptides and Nucleic Acids*, the specification of which was filed on November 14, 1997 and is identified as USSN 08/971,172.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56.

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

60/062,921  
(Application Serial No.)

October 20, 1997  
(Filing Date)

Pending  
(Status)

Please direct all telephone calls to Richard Aron Osman, Ph.D. (650) 343-4341.

Please address all correspondence to: Richard Aron Osman, Ph.D., Science & Technology Law Group, 75 Denise Drive, Hillsborough, CA 94010.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor:

Corey S. Goodman

Inventor's signature:

Date:

3/2/98

Residence:

Berkeley, CA

Citizenship:

U.S.A.

Post Office Address:

Life Sciences Addition #519, UC Berkeley, Berkeley, CA. 94720

Full name of second inventor:

Thomas Kidd

Inventor's signature:

Tom Kidd

Date:

MAR 2 1998

Residence:

Berkeley, CA

Citizenship:

U.S.A.

Post Office Address:

Life Sciences Addition #519, UC Berkeley, Berkeley, CA, 94720

Full name of third inventor:

Kevin J. Mitchell

Inventor's signature:

Kevin Mitchell

Date:

3/4/98

Residence:

Berkeley, CA

Citizenship:

U.S.A.

Post Office Address:

Life Sciences Addition #519, UC Berkeley, Berkeley, CA, 94720

Full name of fourth inventor:

Guy Tear

Inventor's signature:

Date:

Residence:

London, England

Citizenship:

United Kingdom

Post Office Address:

Department of Biochemistry, Imperial College, Exhibition Road, London  
SW7 2AZ, England

Full name of third inventor:

Kevin J. Mitchell

Inventor's signature:

Date:

Residence:

Citizenship:

Post Office Address:

Berkeley, CAU.S.A.Life Sciences Addition #519, UC Berkeley, Berkeley, CA, 94720

Full name of fourth inventor:

Guy Tear

Inventor's signature:

Date:

Residence:

Citizenship:

Post Office Address:

London, EnglandUnited KingdomDepartment of Biochemistry, Imperial College, Exhibition Road, London  
SW7 2AZ, England

RECORDATION FORM COVER SHEET  
PATENTS ONLYAttorney Docket No. UCB 98-006

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Corey S. Goodman, Thomas Kidd, Kevin J. Mitchell and  
Guy TearAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name

Other: \_\_\_\_\_

Execution Date: March 2 and 9, 1998

## 2. Name and address of receiving party(ies):

Name: The Regents of the University of California  
Address: 300 Lakeside Drive, 22 Floor  
Oakland CA 94612Additional name(s) & address(es) attached? ☐ Yes ☒ No4. Application number(s) or patent number(s): 08/971,172

If this document is being filed together with a new application, the execution date of the application is:

## A. Patent Application No.(s)

08/971,172 filed November 14, 1997

## B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Richard Aron Osman, Ph.D.Address: 75 Denise DriveHillsborough, CA 940106. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41): \$40.00☒ Enclosed☒ Authorized to be charged to deposit account, if necessary

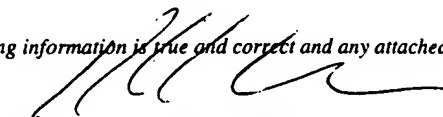
## 8. Deposit account number:

19-0750

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Richard Aron Osman, Ph.D.  
Name of Person Signing  
Signature5/8/98  
DateTotal number of pages including cover sheet: 3

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231

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ASSIGNMENT

U.C. Case No. B98-006

For good and valuable consideration, the receipt of which is hereby acknowledge,  
ASSIGNOR(S).

1. Corey S. Goodman
2. Thomas Kidd
3. Kevin J. Mitchell
4. Guy Tear

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, and any and all improvements which are disclosed in the invention entitled:

*Robo: A Novel Family of Polypeptides and Nucleic Acids*

and which is found in

(a) X U.S. application serial no. 08/971,172, filed on November 14, 1997

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment:

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said Invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

executed this

Signature of Inventor(s)

2 day of March, 1998

Corey S. Goodman

2nd day of March, 1998

Kevin J. Mitchell

2nd day of Mar, 1998

Thomas Kidd

\_\_\_\_ day of \_\_\_\_\_, 1998

Guy Tear

ASSIGNMENTU.C. Case No. B98-006

For good and valuable consideration, the receipt of which is hereby acknowledge,  
ASSIGNOR(S),

1. Corey S. Goodman
2. Thomas Kidd
3. Kevin J. Mitchell
4. Guy Tear

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*Robo: A Novel Family of Polypeptides and Nucleic Acids*

and which is found in

(a) X U.S. application serial no. 08/971,172, filed on November 14, 1997

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said Invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

executed this

Signature of Inventor(s)

\_\_\_ day of \_\_\_, 1998

Corey S. Goodman

\_\_\_ day of \_\_\_, 1998

Kevin J. Mitchell

\_\_\_ day of \_\_\_, 1998

Thomas Kidd

09 day of March, 1998

Guy Tear

Applicant: Goodman et al  
Serial No.: 08/971,172  
Filed: November 14, 1997  
Group: 1801

UCB98-006

POWER OF ATTORNEY BY ASSIGNEE

To the Assistant Commissioner for Patents:

The undersigned assignee of the entire interest in application for letters patent entitled: *Robo: A Novel Family of Polypeptides and Nucleic Acids*, and having the named inventor(s): Corey S. Goodman, Thomas Kidd, Kevin J. Mitchell and Guy Tear and described in the application filed on November 14, 1997 having US Serial No. 08/971,172, hereby appoints Richard Aron Osman, Ph.D. (Reg No 36,627) to prosecute this application and to transact all business in the United States Patent and Trademark Office in connection therewith.

Please direct all correspondence and telephone calls to: Richard Aron Osman, Ph.D. at 75 Denise Drive, Hillsborough, CA 94010; tel. (650) 343-4341.

In accordance with 37 CFR §3.73 the assignee submits herewith for recordation an assignment from the inventors to the undersigned assignee and hereby certifies that the evidentiary documents with respect to their ownership have been reviewed and that, to the best of assignee's knowledge and belief, title is in the assignee seeking to take this action.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application nor any patent issuing thereon.

By: The Regents of the University of California  
300 Lakeside Drive, 22nd Floor, Oakland CA 94612-3550

Name: William A. Hoskins

Title: Director, Office of Technology Licensing

Signature: 

Docket No. B98-006

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: The Regents of the University of California  
ADDRESS: 300 Lakeside Dr., 22 Floor, Oakland CA, 94612-3550

**TYPE OF ORGANIZATION**

University or other Institution of Higher Education

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) or (b) of Title 35, United States Code, with regard to the invention entitled *Robo: A Novel Family of Polypeptides and Nucleic Acids* by inventors Corey S. Goodman, Thomas Kidd, Kevin J. Mitchell and Guy Tear described in the application filed on November 14, 1997 having USSN 08/971,172.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above with regard to the invention entitled *Robo: A Novel Family of Polypeptides and Nucleic Acids*, and having the named inventor(s): Goodman et al. described in the Application filed on November 14, 1997 having US Serial No. 08/971,172. If the rights held by the above identified nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name: \_\_\_\_\_

Address: \_\_\_\_\_

☐ Individual    ☐ Small Business Concern    ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name/Title: William A. Hoskins, Director, Office of Technology Licensing  
Address: Office of Technology Licensing, 2150 Shattuck Ave., Berkeley, CA 94704

SIGNATURE



DATE

MAR. 7, 1998